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ABSTRACT

This document presents standards for Utah public libraries. The benefits of standards for public libraries and for the state library are listed, and responsibilities, benefits, and characteristics of three types of public libraries (i.e., volunteer, transitional, and certified public libraries) are summarized. Specific standards in the following areas are provided: (1) Governance; (2) Funding; (3) Housing and Access; (4) Personnel; (5) Materials; (6) Services; (7) Technology; (8) Planning and Evaluation; (9) Policies; and (10) Reporting. Procedures for certifying new library jurisdictions are outlined, and other issues are addressed, including consolidated library jurisdictions, combined school/public libraries, library branches, and revoked certification. Appendices include a history of Utah public library standards and three planning methodologies. (Contains 13 references.) (MES)

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Department of Community and Economic Development

State Library Division

PIONEER

Public Library Standards

STANDARDS FOR UTAH PUBLIC LIBRARIES

ED 480 024

Approved by the
Utah State Library Board
at their regular meeting
November 12, 2002

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Amy Owen, Director
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Appendices | Appendix A: History of Public Library Standards in Utah | Appendix B: Planning Methodologies | Appendix C: References | Certified Public Library | Combined School/Public Libraries | Consolidated Library Jurisdictions | Introduction | Library Branches | Other Issues | Planning Model I: OBE (Outcome Based Evaluation) | Planning Model II: New Planning for Results | Planning Model III: The Upgrade Process | Procedures for Certifying New Library Jurisdictions | Revoked Certification | Transitional Public Library | Utah Certified Public Library Standards | Volunteer Public Library

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Introduction

"There is no magic formula for library excellence – many factors contribute to the quality of a public library. But regardless of the specific situation of a particular library, some basic prerequisites are needed ..."

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A **Transitional Public Library** is one that is recognized by the community and by the local authorities as a public entity, is funded in full or in part by local tax dollars, and has regular established hours. It must also meet several standards to qualify for recognition by and help from the Utah State Library Division

A **Certified Public Library** is one that is established according to Utah law and which meets all of the standards. It is on the top rung of Utah's public library ladder. Reaching this level of achievement demonstrates the local community's commitment to maintaining basic library services for its residents.

* Van House, Nancy A., Mary Jo Lynch, Charles R. McClure, and Douglas L. Zweizig. *Output Measures for Public Libraries: A Manual of Standardized Procedures. 2nd Edition* 1987.

Volunteer Public Library

A volunteer public library is a library that is open to all members of the community, but has no local government support. Volunteers are usually recruited from an informal Friends group and generally organize and run these libraries. They depend on donations, both books and funds to operate the library. Governance and administrative procedures are minimal.

A volunteer public library that is serious about offering quality library service to its community will work toward reaching Transitional Public Library status as the next step. The volunteers should start with formal recognition and funding support from local authorities.

Responsibilities:

- Must Maintain the characteristics of a Volunteer Public Library

Benefits:

- Consulting contact with the State Library Division
- Packet of information from the State Library Division

Characteristics:

- Is open to the public
- Is housed in a public facility
- Has regular hours of operation
- Maintains a book collection

Transitional Public Library

The need for guidelines and standards for serving populations is never ending because those that exist need periodic updating. The last decade has brought many changes to library services and programs. Automation, technology, Internet and e-mail are all examples of the new challenges faced by public libraries.

Standards are established so that people and agencies can share information in a known, consistent manner. Use of stable standard definitions is desirable when gathering data, and managers need comparative data on organization performance when making decisions.

Why Should Libraries Meet Standards?

For Public Libraries *Standards* provide:

- An effective tool to assist in planning and setting local goals and priorities for improved library services.
- More accurate and comprehensive information to assist in planning and evaluating local library services.
- Better documentation of progress, needs, goals, and programs for use with funding authorities.
- Evolving "yardsticks" based on actual performance to help librarians evaluate library services over time.

For the State Library *Standards* provide:

- Better documentation of patterns of public library service in Utah for use in internal planning and for communicating with the governor and legislature.
- More feedback on the needs, goals, and plans of the state's public libraries.
- Standard methods for collecting and publishing information about public library services.
- A "yardstick" to assist in planning and evaluating State Library Division services and programs.
- An effective tool for encouraging local public library trustees and staff to actively plan and evaluate their library services.

Standards are only part of a planning -- evaluation cycle. They are a guide on which to base the existing conditions and services. Standards provide the environment in which to define the library's mission, set goals and objectives, choose strategies for achieving objectives, and provide the climate for evaluation.

Excellence in library service results when services match community needs, interests, and priorities and is within reach of communities both large and small. *Standards for Utah Public Libraries* provides a checklist of elements, which must be present for excellence in library service. Even though public libraries share certain characteristics, each community must develop its own philosophy for meeting these standards. The primary requirement to maintaining the highest level of the standards is commitment: commitment on the part of the library staff, board members, local officials, and the community at large. Even when achieved, excellence is not easily maintained. Individuals, libraries, and communities change, and excellence in library service is a moving goal toward which the library must continually work. Planning and evaluation are key elements for meeting library standards and maintaining excellent library service.

To plan, "first, librarians must be able to describe accurately the existing library conditions and performance. Second, they must have a vision of what the services of the library should be. And finally, they must be able to design and carry out activities to reach this vision, and to evaluate their success in reaching it."*

The *Standards for Utah Public Libraries* identifies three types of libraries:

The **Volunteer Public Library** is a library that is open to all members of the community, but has no local government support. Volunteers are usually recruited from an informal Friends group and generally organize and run these libraries. They depend on donations of both books and funds to operate the library.

A Transitional Public Library is one that is recognized by the community and by the local authorities as a public entity, is funded in full or in part by local tax dollars, and has regular established hours. It must also meet several standards to qualify for recognition by and help from the Utah State Library Division.

Utah libraries meeting the Transitional Public Library standards are entitled to certain benefits and also have certain responsibilities.

Responsibilities:

- Must formally request recognition as a transitional public library
- Must maintain the transitional public library standards
- Must actively work toward Certified Public Library status

Benefits:

- State Library Division consultant services
- State Library Division continuing education program
- State Library Division newsletter

Standards:

- Officially recognized by local authorities (recognition documented in minutes of the council/commission meeting)
- Funded in full or in part by local tax dollars
- Open to the local public free of charge
- Has established hours
- Established for at least three years after initial recognition by city or county authorities prior to seeking certification

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Certified Public Library

A Certified Public Library is one that is established according to Utah law and which meets all of the standards listed below. A Certified Public Library is on the top rung of Utah's public library ladder. Reaching this level of achievement demonstrates the local community's commitment to maintaining basic library services for its residents. Utah libraries meeting the Certified Public Library standards are entitled to certain benefits and also have certain responsibilities.

Responsibilities:

- Must meet and continue to meet all of the certified public library standards

Benefits:

- Public Library Development Grants, as funds are available
- LSTA Competitive Grants
- Full support services of the State Library, including:
  - Consultant Services
  - Continuing Education Programs
  - State Library Division newsletter
  - Reference and Interlibrary Loan Services
- Inclusion in the online Public Library Directory
- Utah Library Network Services/*PIONEER Premium Databases*
- Inclusion in the annual report of public library services

Standards Components: (details on the following pages)

- Governance?Services
- Funding?Technology
- Housing and Access?Planning and Evaluation
- Personnel?Policies
- Materials?Reporting

Utah Certified Public Library Standards

Governance

1. Governance of library services in the local jurisdiction is consistent with existing Utah Code Annotated Title 9, Chapter 7, Library Development (2002) and local ordinances. The library board is responsible for establishing, or recommending the establishment of, library service objectives and policies.

2. The library board meets at least quarterly and its activities conform to Utah Code Annotated Title 52, Chapter 4, Open Public Meetings (2002 sup.) and other relevant statutes that require open public meetings advertised in advance and written minutes.

3. Board appointments are current, as required by Utah Code Annotated, Sections 9-7-403 and 9-7-503 (2002 sup.). The names and addresses of board members, terms of office, and changes in membership are forwarded as requested to the State Library Division.

Funding

1. Library services are supported on a permanent basis by a direct property tax levy, local government general funds, or other special or endowment funds, or any combination of the foregoing sources. At least 50% of local library service funding is supplied from local government sources.

2. A formal annual budget includes line items for major expenditure categories such as personnel, library collections, operations, technology, and capital outlay.

3. For a library to be eligible to receive a Public Library Development Grant the local government must expend from local government sources an aggregate amount for library service (exclusive of capital outlay) of not less than 90% of the amount actually expended in the second preceding fiscal year. An exception may be made if the library has not been singled out for disproportionate budget cuts, and verified across-the-board funding cuts have been made to all departments within the jurisdiction of the governing body.

Housing and Access

1. Library services are provided through facilities that are publicly owned or leased, are publicly maintained, and meet the federal guidelines specified in the Americans with Disabilities Act.

2. In order to serve a broad segment of the community, library service schedules are clearly posted in appropriate locations and widely disseminated through the potential user population. Fixed-site libraries are open to the public for a minimum of 20 hours per week, including both evening (after 5:00 p.m.) and weekend hours. County bookmobile library service schedules allow a minimum of 30 minutes for most stops.

3. Patrons have access to library services by telephone listed under the library's name.

Personnel

1. Library services are provided by one or more permanent staff members, who are paid by public funds (local/state/federal). These staff members are accountable to the library board and local elected officials for the community's library service program. The staff member specifically charged with the administration of the library must be paid out of local government funds.

2. The staff member specifically charged with the administration of the library has acquired formal library training through an institution of higher education, or the Utah State Library Division's training program (UPLIFT Basic Certification Training), or has acquired equivalent expertise and training. The training must include classes in cataloging, collection development, library management, reference, and Internet content (including the use of *Public PIONEER: Utah's Online Library* (*Public PIONEER*). A Certified Public Library will not lose its certification upon hiring a new library director who does not have the formal training, as long as that library director starts and finishes the process of training in a timely manner as determined by the State Library Division.

Materials

1. Budgeted monies are expended annually for the purchase of materials selected on the basis of a current written collection development policy formulated by the librarian and the local library board and intended to meet community needs.

2. Formal organization and management of the collection includes the following: a) materials are systematically cataloged and arranged using a formal classification system; b) a public automated catalog is maintained giving bibliographic access to holdings; c) an automated circulation system is maintained. (See Technology section for system requirements.)

Services

1. Basic library services, (reference, circulation, and Internet access) are provided without charge to residents of the local jurisdiction. Library staff offers customized assistance or adaptive technology as needed to provide library service to persons with disabilities.

2. The librarian makes State Library Division interlibrary loan and reference support services available to patrons.

Technology

1. The library has an automated system for circulation, cataloging, and public access catalog that has reporting features and supports MARC records. The ability for the catalog to be accessible through the Internet (or other remote access) is strongly encouraged.

2. At least one workstation is reserved for staff and will include an Internet connection, e-mail, online catalog, circulation system, and other software needed by staff to perform their duties.

3. The library offers Internet access to the public at each library/branch through staff intervention or through one or more public access workstations. In the case of county bookmobile libraries, the Internet searches may be done by staff at the library with the results mailed to the patron.

4. At least one workstation is available to the public at each library/branch for accessing the public access catalog. This may be the same workstation as the Internet workstation.

Planning and Evaluation

1. The library board, in partnership with the library director and other stakeholders, engages in ongoing and comprehensive planning activities. First, a three-year plan is developed that encompasses all aspects of library operation and service. It contains plans for technology, grants spending, public relations, and library advocacy, as well as services to the public. Each year the three-year plan is reviewed. An evaluation is made of how the previous year's goals and objectives were met; specific goals and objectives are developed for the coming year; plans are fleshed out for the second year, and new third year plans are added.

2. The library board annually submits planning documents to the State Library Division, as stipulated under the **Reporting** section of these standards.

Policies

1. The local library board has established a review process and schedule for the review of all library policies.

2. The local library board has adopted, and reviews on a regular basis, a written collection development policy formulated by the librarian and library board and intended to meet community needs.

3. The local library board has adopted, and reviews on a regular basis, a written Internet and online policy, as required by Utah Code Annotated Sections 9-7-215 and 9-7-216 (2002).

Reporting

1. The librarian reports in a timely and accurate manner the information requested for *Utah Public Library Service: An Annual Report*, as stipulated in Utah Code Annotated Section 9-7-211 (2002).

2. The library director responds promptly to requests from the State Library Division for other reports and documentation as required by law, such as Utah Code Annotated Sections 9-7-215 and UCA 9-7-216 (2002).

3. The librarian complies in a timely and accurate manner to special surveys undertaken by the State Library Division.

4. The librarian, or secretary of the library board, submits to the State Library Division the names and addresses of new board members at the time of their appointments, and otherwise keeps the Division informed in a timely manner regarding changes in addresses, retirements, and reappointments.

5. The librarian submits a report to the State Library Division on the expenditure of the Public Library Development Grant each year by the deadline established, if the library received a grant.

6. The library board annually submits planning documents to the State Library Division, including an evaluation of the past planning year's goals and objectives, goals and objectives for the upcoming planning year with evaluation components, other changes to their three-year plan, and tentative plans for using Public Library Development Grant money.

7. The librarian forwards to the State Library Division copies of all library policies as they are adopted, or revised, by the local library board.

Procedures for Certifying New Library Jurisdictions

When a city governing (or county legislative) body decides to establish and maintain a public library under the provisions of the law, it shall appoint a library board of directors chosen from the citizens of the city (or county), and those directors are appointed for one or two terms of a prescribed length, as defined in the Utah Code Annotates, Sections 9-7-402, 403, 502, and 503). Compliance with this law must occur before the State Library Division can conclude the process of certification of the public library in question. The local library board will initiate the concluding procedures of the certification process, as outlined below.

1. When a duly appointed public library board determines their library meets all of the Standards for Utah Public Libraries, the Public Library Board should submit a formal letter to the Director of the State Library Division requesting certification. The letter should be signed by the library director, the chair of the library board, and a member of the local governing body that established the library.

2. The State Librarian will appoint a team of Library Development consultants to conduct a site visit and evaluate the public library.

3. The Team will work with the local library director and library board chair to establish an appropriate time for the evaluation. They will visit the library and verify that all items, procedures, and relationships required by the Standards for Utah Public Libraries are in place and operating.

4. Based on the site visit, the Team will then submit their recommendations to the State Library Division Director for action.

5. The Director will respond to the recommendations with a letter to the Public Library Board, accompanied by a copy of the Team report. The letter should indicate that:

   a. The Team recommends certification, and the recommendation will be submitted for approval by the State Library Board at its next meeting (to which the librarian and board will be invited), or

   b. the Team does not recommend certification, and the public library should either submit an appeal, or address the problems detailed by the Team, and submit another letter of request when the deficiencies have been resolved.

6. After the State Library Board approves the certification of the library, the State Library Director will send the Public Library Board a letter of congratulations and a framed certificate.

Other Issues

Consolidated Library Jurisdictions

At their July 10, 1997 meeting the Utah State Library Board passed a resolution establishing the procedure for determining the amount of grant going to a consolidated county library that was formerly more than one city and/or county bookmobile library. The resolution reads, "So there is no disincentive for city jurisdictions to join together to form county units, following the creation of a county system by city jurisdictions, the Public Library Development Grants for the new county system will be no less than the sum of the grant amounts previously available to the city jurisdictions (assuming the development grant fund for the entire state is not reduced) for a period of three years following the creation of the county system. If the overall pool of available grant money is less, of course, the new county library will be subject to a proportional cut like any other library."

Combined School/Public Libraries

At their July 10, 1997 meeting the Utah State Library Board passed a resolution establishing guidelines in determining the status of combined school/public libraries. The resolution reads, "In the case of 'co-located' libraries, where separate public and school libraries share a common facility, the State Library Division will consider the public library as it would any other public library. The distinguishing characteristic of such a co-located library must be its integrity as a public library. That is, it must have a legally constituted public library board of trustees appointed by local government, be funded primarily through local city or county (not school district) revenues, have its own line-item budget, its own policies, its own director, and its own collection. The State Library Division will not certify as public libraries or make available development grants to 'combined' school/public libraries, that is, those libraries with a shared facility, staff, collection, budget, and governing body.

Library Branches

To qualify as a branch in determining the amount of the public library development grant, a "branch" library must meet the following criteria:

1. The branch must meet the annual report definition of a branch: "A branch library is an auxiliary unit, of an administrative entity, which has at least ALL of the following: 1: separate quarters, 2) an organized collection of library materials, 3) regularly scheduled hours for being open to the public.

2. The branch must meet all the Certified Public Library Standards, except the 20 hours per week, evening, and Saturday hours.

3. If the branch is a school/public library outlet, it must meet the standard for school/public library, as passed by the Utah State Library Board on July 10, 1997.

Revoked Certification

State Library Division staff will be in touch with their libraries on a regular basis and will work closely with the public librarian and library board when problems arise that could affect the library's certification status (i.e., the library is no longer in compliance with one or more of the standards.). If the problem is not resolved in a timely manner, the Division staff will write a formal letter to the public library board describing the problem and setting a deadline for a solution.

If the deadline is not met, the Division staff will send a written recommendation to the Director of the State Library Division stating that the public library is no longer in compliance with the Standards for Utah Public Libraries. The Director shall then write a formal letter to the public library board, stating that their certification has been revoked.

The public library will then be considered a Transitional Library and must meet and follow all of the established standards and procedures (including trained personnel) in order to re-establish its Certified Public Library status. The public library board may appeal the Director's decision before the Utah State Library Board.

APPENDICES

Appendix A

History of Utah Public Library Standards

In November 1982 the Utah State Library Board charged the Utah Advisory Committee on Library and Information Services "to study existing needs assessment and/or evaluation procedures suggested for use by public libraries; recommend appropriate methodology for use within the state; assist the State Library in promoting the use of this methodology; and assist the State Library in defining basic standards for public library service." The initial result, adopted in 1987, was The Upgrade Process, as presented in the manual, *The Upgrade Process: Planning, Evaluating, and Measuring for Excellence in Public Library Service*.

The Upgrade Process was based on two major premises: first, that formal planning for library service is the responsibility of local librarians, their boards and elected officials; and second, that local planning can be more effective when it is supported by an appropriate statewide context. The process had three components: public library standards, a flexible planning process, and an evaluation process using performance measures.

In the beginning the major component was the standards component. The manual contained standards on governance, funding, housing and access, personnel, materials (collection), services, and reporting. The standards were phased in over a period of three years. Libraries meeting the standards for the year were provisionally certified, with those meeting all the standards becoming a Certified Public Library. The State Library Division staff worked diligently with the local libraries to bring them up to "Certified" status.

In 1990 *Checkpoint 1990* was developed to aid the State Library Division staff in evaluating the public libraries requesting certification. The checklist was based on the standards, but contained more detail. Other checks were included that were peripheral to the standards.

Once a library reached certified status, the board and librarian were urged to move on to the planning and evaluation processes, called Striving for Excellence. All of the certified libraries embraced the planning process in one form or another, and continued to improve their service to their communities.

In 1997 a proposal was presented to and passed by the Utah State Library Board (Revisions to the *Upgrade Process* Standards, July 10, 1997). These revisions covered several areas.

- Defined what a new library had to accomplish to be certified;
- Defined when a newly certified library would be eligible for a public library development grant;
- Set up a process whereby libraries consolidating into a larger unit would not lose grant money.
- Defined when combined school/public libraries would be considered a true public library, required to meet the standards, and be eligible for a public library development grant;
- Eliminated the Striving for Excellence component of The Upgrade Process and created a Planning and Evaluation standard at the certified level.

In November 2001 the Utah State Library Board voted on and passed a document, "Concluding Procedural Steps to be Followed in the Certification of New Libraries." This document detailed the steps to be taken, first by a library requesting certification, and then by the State Library Division staff in meeting that request.

In the summer of 2002 the State Library Division staff again looked at the standards detailed in various documents. They decided that the standards needed to be consolidated and new areas (such as technology) examined. This publication is the result of that consolidation and revision. It was presented to the Utah State Library Board at their November meeting, and was adopted by said board on November 12, 2002.

Appendix B

Planning Methodologies

Planning Model I: OBE (Outcome Based Evaluation)

IMLS (Institute of Museum and Library Services)

OBE is an organized process of developing an outcome based program and an evaluation plan which helps libraries articulate and establish clear program benefits (*outcomes*), identify ways to measure those program benefits (*indicators*), clarify the specific individuals or groups for which the program's benefits are intended (*target audience*), and design program services to reach that audience and achieve the desired results.

Outcome Based Evaluation

- Is a systematic way to assess the extent to which a program has achieved its objective
  - How has the program made a difference?
  - How are lives of participants improved as a result of the program?
- Increases program effectiveness and provides the framework for program development
- Generates information for decision making
- Documents successes and helps to communicate program value

Program Planning Outline

- The Birth of a Program starts by the perception of a need, the assessment of a need, or the development of an idea.
- What is the program trying to change, develop or improve – an attitude, a behavior, knowledge, a skill, or an ability?
- Program Plan will include assumptions, solutions, and projected outcomes
- Identify a series of activities, projects, or services directed toward intended outcomes.
- Building a Program will involve:

Inputs +	Activities/Services =	Outputs
Resources dedicated to program		Direct program product typically measured in numbers

Outcomes:

A target audience's changed or improved skills, attitudes, knowledge, behaviors, status, or life condition brought about by experiencing a program or project.

Why are outcomes important?

- Provide information on the impact of the project
- Prove or disprove assumptions about what "good" the project is providing
- Provide powerful narrative that can be shared with staff, the library board, government officials, and grant-funding agencies

Gather Outputs (NOT Outcomes)

- Number of items
- Number of participants
- Number of "whatevers"

Sample Form: Outcomes Based Evaluation (OBE)

How Will Outcomes Be Measured?

Inputs	Activities & Services	Outputs	Outcomes*	Indicators	Data Sources	Applied to	Data Intervals	Goals
Collection Staff Equip-ment	Planning Having the event	# of items # of users # of ?	Statement of that behaviors, skills, etc. a program is suppose to effect or change		Web stats # hits	Target populations	Testing elements	Written statement

Elements of the Sample Form

Inputs – *What resources go into and are consumed by the process?*
Activities & Services – *What tasks will help you manage the process? What support will you give to grantees?*
Outputs – *What will you count?*
Outcomes – *What changes or improvements will your program make in your audience's skills, attitudes, knowledge, behaviors, status, or life condition? How do you expect people to benefit from your program? What are the intended results of your program?*

How will Outcomes be determined?

- Who are your influencers?
- What is your Program Purpose?
- What is your Target Audience?

How will Outcomes be measured?

- Indicators – *measurable conditions or behaviors showing that an outcome has been achieved; observable evidence of accomplishments, changes, or gains; what you see or know.*
- Data sources – *tools, documents, and location of information that demonstrate what happened to your target audience.*
- Applied to – *who will be measured, all of target audience, or subgroup?*
- Data Intervals – *establish a benchmark. How often will you measure?*
- Goals – *numeric / percentage expectations.*

References

Web site: Institute of Museum and Library Services

Bond, Sally L., Sally E. Boyd, and Kathleen A. Rapp (1997). *Taking Stock: A Practical Guide to Evaluating Your Own Programs*. Chapel Hill, N.C.: Horizon Research, Inc. Available via Acrobat PDF at <http://www.horizon-research.com/publications/stock.pdf>

Heron, Peter and Robert E. Dugan (2002). *Action Plan for Outcomes Assessment in Your Library*. Chicago, IL: American Library Association, 192 pp.

PLANNING MODEL II: New Planning for Results*

The New Planning for Results incorporates the basic framework from two earlier public library documents: *Planning and Role-Setting for Public Libraries* (1987) and *Planning for Results* (1998). It is built on three basic assumptions: 1) Excellence must be defined locally, 2) Excellence is possible for both small and large libraries, and 3) Excellence is a moving target. These three assumptions are as powerful today as they were when they were first published in 1987.

The intent of the *New Planning for Results* is to simplify and streamline the processes recommended in *Planning for Results* (1998), as a result of the feedback from librarians who used that process. The definitions of goals, objectives, and activities are the same, as well as the three recommended ways to measure library progress. The

six steps of the planning process should also look familiar.

- **Prepare: Planning to Plan** – design the planning process and prepare the Board, staff and other committee members
- **Imagine: Identifying Possibilities** – determine community vision and identify community needs
- **Design: Inventing the Future** – obtain service responses and write goals and objectives
- **Build: Assembling the Future** – identify building activities and determine resource requirements
- **Communicate: Informing the Stakeholders** – write the plan and obtain approval, then communicate the plan to staff and community
- **Implement: Moving into the Future** – reallocate resources and monitor implementation of the plan.

As well as streamlining the approach to the planning process, this work also includes a section on gathering and evaluating public responses to the services offered by the library. Another section called, "Tool Kit," provides ideas and options when working with different groups during the planning period. It provides a complete set of guidelines for the four different mechanisms to help groups work through the process issues and problems. And the last section includes thirteen workforms that can serve as a model of the types of data you will need to collect. The work forms help to simplify the work, organize the information, and help explain the process to others.

Each library's planning process is different and needs to be tailored to meet the objectives of the community-based planning committee and the staff committees. All of the tools a librarian will need to develop an effective strategic plan for the library have been included in this book. All that is left is to "just do it."

*Nelson, Sandra for the Public Library Association. *The New Planning for Results: a streamlined approach*. Chicago, IL: American Library Association, 2001.
Companion volume: *Managing for Results: Effective Resource Allocation for Public Libraries*. Chicago, IL: American Library Association, January 2000.

Planning Model III: The Upgrade Process

Planning has become a major component of library operation. Under the direction of the librarian and library board, the community should engage in formal long range planning activities. Involving the library staff and citizenry in these activities will promote library services and as a result of the planning cycle, the librarian and library board can develop future library services and improve library operations.

The community library defines excellence in library service for itself by producing a planning document containing the following elements:

1. Statement of library service mission and roles: What is the purpose of library service in the community and what are the priorities for service?

2. Assessment of community needs for library service: Librarians may collect such information on a planned, continuous basis, or do a comprehensive survey of community needs every three to five years, with annual reviews and updates as needed;

3. Definition of goals and objectives: The number of goals and objectives should be consistent with what is realistically achievable given library and community resources. Each objective statement should specify an outcome which can be measured or observed, and the date by which it will be accomplished;

4. Tasks, activities, or strategies for accomplishing the objectives: These statements should also be measurable with target results and target dates for achievement specified; and

5. Performance measures or other appropriate evaluation mechanisms: The planning document should clearly indicate how achievement of objectives, tasks, activities, and strategies would be assessed. Librarians use performance measures and other appropriate techniques to document the progress of the library services plan. And at the conclusion of the planning period, librarians produce formal evaluations reporting: progress toward achieving the goals, objectives, tasks, activities, or strategies of the plan, as well as recommendations for the next planning cycle.

The Planning Process Included These Activities*

Step 1: Prepare to Plan – Make a realistic decision about what resources the library can afford to devote to planning, acknowledging that you must commit resources, especially staff time and effort.

Step 2: Assess Needs – Collect and study information about the library and its community. This helps to ensure that its planning decisions are based on an understanding of current conditions.

Step 3: Select Roles and Mission – Defining the purpose of your library and its key service roles informs both librarians and patrons about the library's service emphases and helps the library set priorities. It also provides a basis for evaluating library services and using performance measures.

Step 4: Write Goals and Objectives – This is the process of translating the library's mission statement into action. Goals are long range (3-5 years) statements of directions for organizational activity. Objectives are short-range measurable activities to be completed within one to two years.

Step 5: Select and Carry Out Programs – Determine the programs or activities needed to accomplish your objectives. Programs include any activity or service the library might provide – internal support or patron service.

Step 6: Evaluate Library Programs – This is the process of determining the quality of the program or service based on measurable criteria, i.e. effectiveness, performance, etc. It requires assignment of a value to an activity or program and attempts to determine effectiveness.

Step 7: Report Evaluation and Results – A formal document is prepared to the library's board, staff, community and elected officials. Reporting is especially important because it publicizes what the library is doing, how well they are doing, and what improvements can be made.

Step 8: Review and Recommend – The final step in the planning process emphasizes the importance of internal analysis of the planning process itself. Here you review the past plan and the evaluation information you have collected and make suggestions for improvement, additional information that might be useful next time, and any changes in goals, objectives, activities and services for the library.

* "Chapter IV, The Planning Process", *The Upgrade Process: Planning, Evaluating, and Measuring for Excellence in Public Library Service*. Salt Lake City, UT, Utah State Library Division, 1987.

Appendix C

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